

# **Exhibit A**

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF FLORIDA**

**Case No.: 1:25-CV-21176-DPG**

DAVID JANNETTI, SARAH LYN  
JANNETTI, ADAM JANNETTI, and  
LEAH JANNETTI,

Petitioners,

v.

STIFEL, NICOLAUS & CO., INC.,

Respondent.

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**INDEX OF EXHIBITS TO RESPONDENT'S  
MOTION TO VACATE ARBITRATION AWARD**

<b>Exhibit Number</b>	<b>Description</b>
A.	Index of Exhibits
B.	Second Amended Statement of Claim ("ASOC")
C.	Stifel's Answer to Statement of Claim
D.	Parties' Submission Agreements
E.	Panel Notice Letter
F.	Claimants' Pre-Hearing Brief
G.	Stifel's Pre-Hearing Brief
H.	Stifel's Motion in Limine (plus opposition and order)
I.	Updated Oath and Checklist for Arbitrator Stephanie Charny
J.	Stifel's Motion to Recuse Arbitrator Charny (plus opposition and reply)
K.	Arbitrator Charny's Order on Motion to Recuse
L.	Stifel's Letter to FINRA Director to Remove Arbitrator Charny
M.	FINRA Director's letter denying removal of Arbitrator Charny

N.	<b>Excerpts from the hearing transcripts of the <i>Jannetti</i> Arbitration</b>	
	N-1	Transcript 10-14-2024 (Vol 1)
	N-2	Transcript 10-15-2024 (Vol 2)
	N-3	Transcript 10-17-2024 (Vol 4)
	N-4	Transcript 10-18-2024 (Vol 5)
	N-5	Transcript 10-22-2024 (Vol 7)
	N-6	Transcript 10-23-2024 (Vol 8)
	N-7	Transcript 10-24-2024 (Vol 9)
	N-8	Transcript 10-25-2024 (Vol 10)
	N-9	Transcript 12-06-2024 (Vol 11)
	N-10	Transcript 01-22-2024 (Vol 17)
	N-11	Transcript 01-24-2025 (Vol 19) (closing arguments)
O.	<b>Selected Claimants' hearing exhibits presented in <i>Jannetti</i> Arbitration</b>	
	O-1	Chuck Roberts CRD (Central Registration Depository) (May 2024) (C's Ex. 4)
	O-2	Chuck Roberts AWC (Acceptance, Waiver and Consent Letter) (C's Ex. 9)
	O-3	Chuck Roberts Broker Check – 2015 (C's Ex. 10)
	O-4	Chuck Roberts – Heightened Supervision Documents (C's Ex. 12)
	O-5	The CR Wealth Management Group – Structured Note Allocation Charts (C's Ex. 18)
	O-6	Texts & Chat Log (texts between Mr. Roberts and various customers) (C's Ex. 28)
	O-7	Other Clients – Structured Note Allocations (C's Ex. 30)
	O-8	Prospectus (Final) – Morgan Stanley Note (C's Ex. 32)
	O-9	Introduction to Structured Investments (C's Ex. 36)
	O-10	Stifel Solutions – FA Investment Manager (C's Ex. 60)
	O-11	Stifel Solutions Program Philosophy (C's Ex. 61)
	O-12	Structured Investments Branch Manager Guide (C's Ex. 75)
	O-13	Claimants Expert's P&L Statements (excerpts from C's Ex. 150)
	O-14	Claimants' Damages Chart (excerpt from C's Ex. 150)
P.	<b>Selected Respondent's exhibits presented at the hearing in <i>Jannetti</i> Arbitration</b>	
	P-1	Account Agreement (R's Ex. 35)

	P-2	Jannetti Emails (excerpts from R's Ex. 120, 121)
	P-3	Jannetti Text Thread (R's Ex. 128)
	P-4	Jannetti Text Thread (Groups) (R's Ex. 129)
	P-5	Jannetti Financial Statement (excerpt from R's Ex. 124)
	P-6	Jannetti Spreadsheet Analysis (R's Ex. 216)
	P-7	Stifel Expert's P&L Statements
	P-8	Affidavit of G. Wayne Hillis regarding attorneys' fees
Q.	<i>Deluca</i> Claimants' Pre-Hearing Brief	
R.	Stifel's Pre-Hearing Brief in <i>Deluca</i>	
S.	<b>Excerpts from the hearing transcripts in the <i>Deluca</i> Arbitration</b>	
	S-1	Deluca Transcript Vol. 1
	S-2	Deluca Transcript Vol. 3
	S-3	Deluca Transcript Vol. 7
	S-4	Deluca Transcript Vol. 8
	S-5	Deluca Transcript Vol. 11 (closing arguments)
T.	Final Award in the <i>Deluca</i> Arbitration, FINRA Case No. 23-01288	
U.	Final Award in the <i>Muhlbauer</i> Arbitration, FINRA Case No. 23-01270	
V.	FINRA Director's Removal Order in <i>Diamantopoulos</i> Arbitration	
W.	Declaration of Jeff Bindon and exhibits	
X.	Declaration of V. Justin Arpey and exhibits	
Y.	FINRA Arbitrator's Guide	
Z.	Code of Ethics for Arbitrators in Commercial Disputes	